

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                             |   |                                    |
|-----------------------------|---|------------------------------------|
| In re patent application:   | ) |                                    |
|                             | ) |                                    |
| Lim et al.                  | ) | Before the Examiner                |
|                             | ) |                                    |
| Serial No. New Application  | ) | Unknown                            |
|                             | ) |                                    |
| Filed Herewith              | ) |                                    |
|                             | ) |                                    |
| INSTRUMENTS AND METHODS FOR | ) | Atty Docket No. 4002-3305/PC902.00 |
| MINIMALLY INVASIVE SPINAL   | ) |                                    |
| STABILIZATION               | ) | January 30, 2004                   |

INFORMATION DISCLOSURE STATEMENT

Commissioner of Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the duty of disclosure embodied in 37 C.F.R. §1.56 and 1.98,  
Applicant wishes to bring to the attention of the Examiner the items of information listed  
on the enclosed Information Disclosure Statement by Applicant. This information has  
not been previously submitted in this application, and has not been heretofore cited by the  
examiner. Copies of the non-U.S. Patent references are enclosed herewith.

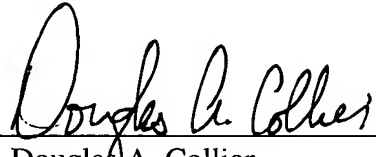
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*Douglas A. Collier*

The filing of this Information Disclosure Statement shall not be construed as an admission that the information cited is, or is considered to be, prior art or material to the patentability as defined in 37 C.F.R. §1.56.

This Statement is being submitted with the filing of the application and before the mailing of a first Office Action on the merits. Therefore, it is believed that no fee is required for consideration of the submitted items. Should any fee be required, please charge such fee to Deposit Account No. 23-3030, but not to include any payment of issue fees.

Respectfully submitted,

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

*Complete if Known*

|       |   |    |   |                        |                    |
|-------|---|----|---|------------------------|--------------------|
| Sheet | 1 | of | 1 | Attorney Docket Number | 4002-3305/PC902.00 |
|-------|---|----|---|------------------------|--------------------|

**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-YYYY | Name of Patentee or<br>Application of Cited Document | Pages, Columns, Lines where<br>Relevant Passages or Relevant<br>Figures Appear |
|--------------------|-----------------------|--|-----------------------------|--|--|
|                    |                       | Number-Kind Code <sup>2</sup> (if known) |                             |  |  |
|                    | 1                     | US-4,411,259                             | 10/1983                     | Drummond   |  |
|                    | 2                     | US-5,180,393                             | 01/1993                     | Commarmond   |  |
|                    | 3                     | US-5,540,688                             | 07/1996                     | Navas  |  |
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| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Application of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear | T <sup>4</sup> |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
|                    |                       | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) |                                |  |   |                |
|                    | 17                    | WO 01/49192   | 07-12-2001                     |  |   |                |
|                    | 18                    | EP 0 669 109 B!   | 08-30-1995                     |  | pp.6, 8-10  |                |
|                    | 19                    | DE 42 38 339 A!   | 05-19-1994                     |  | Translation enclosed  |                |
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|                    |                       |   |                                |  |   |                |
|                    |                       |   |                                |  |   |                |

Examiner  
SignatureDate  
Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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